



State of Indiana
Indiana Department of Correction

Effective Date

Page 1 of

Number

4/1/2022

16

02-03-114

POLICY AND ADMINISTRATIVE PROCEDURE

Manual of Policies and Procedures

Title

INCIDENT REPORTING, MONITORING, AND MAPPING

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Replaces:
IC 11-8-2-5(a)(8) IC 11-11-6-1(a)(4)	00-02-101 02-01-115 03-02-103	02-03-114 (Eff. Date 7-1-2019 / ED # 19-47)

I. PURPOSE:

The purpose of this policy and administrative procedure is to implement a systematic manner of incident reporting and gathering information regarding incidents that disrupt the orderly operation of Indiana Department of Correction Adult facilities, Department – Operated Community Re-Entry/Work Release Facilities, Parole District Offices, Central Office, and other Department work sites. This policy and administrative procedure requires that all Critical Incident notifications are reported to the Department’s Operations Center via an email with a follow-up phone call by all reporting divisions of the Department. The Department will be able to analyze incident reporting data to ensure operational and staffing issues are addressed to effectively minimize and prevent violence and disruptions that may occur at Department sites.

II. POLICY STATEMENT:

It is the intent of the Department to diligently manage potential violence by incarcerated individuals in its facilities, residents at work release facilities, and parolees being supervised in the community. The Department must maintain awareness of re-occurring incidents and patterns of staff, incarcerated individuals, and parolee interaction by tracking incidents of interest within its facilities and when in the community.

III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are presented:

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	2	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

- A. **ATTEMPTED ESCAPE:** An incarcerated individual who attempts to elude / circumvent the security measures of a correctional facility or that of the custody/control of a correctional officer outside the confines of a correctional facility and flees from the off-site location (i.e., outside work detail, community transport, etc.).
- B. **BATTERY:** Knowingly or intentionally touching another person in a rude, insolent, or angry manner; or in a rude, insolent, or angry manner placing any bodily fluid or bodily waste on another person.
- C. **BODILY INJURY:** Any impairment of physical condition, including physical pain in accordance with IC 35-41-1-4.
- D. **DEPARTMENT OF CORRECTION OPERATIONS CENTER:** The Operations Center containing two distinct operations which include the Central Warrants Units and Critical Incident Notification for all Department Reporting Structures. The Operations Center is located on the grounds of the Indiana Government Center in Indianapolis and operates twenty-four (24) hours a day, seven (7) days a week, including weekends and holidays.
- E. **DISTURBANCE: (Correctional Facilities):** A disruption of routine facility operation/security by staff, incarcerated individuals, or other persons, such as riot, incarcerated individual work stoppage, demonstrations, simultaneous incarcerated individual hunger strike of five (5) or more incarcerated individuals, or violent and tumultuous incidents requiring special assistance and activation of special teams (e.g., E-Squad, SERT, SITCON, State Police, etc.) to regain control over a correctional facility.
- F. **ESCAPE:** An incident in which an incarcerated individual eludes/circumvents all the security measures/barriers of a correctional facility and departs from the facility.
- G. **HOSTAGE SITUATION:** An event in which a person controls another person either by use of weapon(s) or by threat of violence.
- H. **INCARCERATED INDIVIDUAL:** An adult person committed to a department of correction (federal, state, or local) and housed or supervised in a facility either operated by the department of correction or with which the department of correction has a contract, including an adult under parole supervision; under probation supervision following a commitment to a department of correction; in a minimum security assignment, including an assignment to a community transition program.
- I. **INCIDENT:** Any situation that disrupts the routine operation of a facility.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	3	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

- J. MAJOR CONDUCT REPORT: Any Report of Conduct for a major disciplinary code offense (Class A or B) which results in injury to a staff person, a member of the public, or another incarcerated individual; or which results in significant damage or destruction of State-owned or personal property belonging to another.
- K. NATURAL DISASTER: Events such as earthquakes, tornadoes, straight line winds, chemical spills, etc., where the routine function of the facility is seriously disrupted. These events do not include brief or intermittent power outages, unless these power outages result in substantial equipment failure and subsequent disruption of the facility.
- L. SERIOUS BODILY INJURY: An injury to a person that requires urgent and immediate medical treatment (normally more extensive than mere first aid, such as bandaging a wound; but which might include stitches, setting of broken bones, treatment of concussion, etc.) and/or that creates a substantial risk of death or that causes:
- Serious permanent disfigurement;
 - Unconsciousness;
 - Extreme pain;
 - Permanent or protracted loss or impairment of the function of a bodily member or organ; or
 - Loss of a fetus.
- M. SERIOUS, SIGNIFICANT, OR HIGHLY SENSITIVE EVENT: Any event that includes the following:
1. Escapes;
 2. Death or serious injury of on-duty staff;
 3. Death or serious injury of an incarcerated individual, except in cases where the incarcerated individual dies of natural causes and the death was anticipated;
 4. Sexual conduct;
 5. Staff sexual misconduct;
 6. Death or serious injury of a visitor at a facility;
 7. Any serious fire or disturbance at a facility;
 8. Any natural disaster or other serious unexpected event, such as the loss of utilities, that may have a serious negative impact on the operation of the facility;
 9. Any unexpected facility event that may cause widespread interest or non-routine news coverage and where immediate response or comment may be solicited from Central Office;
 10. Any serious crime, such as a homicide, serious battery or sex crime, committed by a parolee that may cause widespread interest or non-routine news coverage and where a response or comment may be solicited from Central Office; or,

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	4	16

Title
INCIDENT REPORTING, MONITORING, AND MAPPING

11. Any other event listed in Section IV of this policy and administrative procedure.

N. **SEXUAL MISCONDUCT OF INCARCERATED INDIVIDUAL / STAFF / VOLUNTEER MISCONDUCT:** Any act or behavior of a sexual nature directed toward an incarcerated individual by an employee, volunteer, contractor, official visitor, visitor or Department representative, such as romantic relationships between staff and incarcerated individuals and consensual or non-consensual sexual acts including:

1. Intentional touching of the genitalia, anus, groin, breast, inner thigh, or buttocks with the intent to abuse, arouse, or gratify sexual desire;
2. Completed, attempted, threatened, or requested sexual acts; or,
3. Occurrences of indecent exposure, invasion of privacy, or staff voyeurism for sexual gratification.

O. **STAFF / VOLUNTEER / VISITOR / INCARCERATED INDIVIDUAL SEXUAL HARRASSMENT:** Verbal statements or comments of a sexual nature to an incarcerated individual by an employee, volunteer, contractor, official visitor, visitor or Department representative or statements or comments of a sexual nature by an incarcerated individual to another incarcerated individual, employee, volunteer, contractor, official visitor, visitor or Department representative including:

1. Demeaning references to gender or derogatory comments about body or clothing; or,
2. Profane or obscene language or gestures.

Staff shall follow the reporting guidelines as outlined in Policy and Administrative Procedure 02-01-115, "Sexual Abuse Prevention."

In reporting this violation for purposes of the Prison Rape Elimination Act (PREA) and the Association of State Correctional Administrators (ASCA), staff shall indicate if the sexual conduct involved the use of force, threat or intimidation and, if by an incarcerated individual, whether the conduct was towards another incarcerated individual, staff, contractor or volunteer).

IV. REPORTING CRITICAL INCIDENTS:

A Critical Incident is any event that seriously disrupts the routine operation of a facility; and/or the supervision of parolees in the community that may be a serious, significant, or highly sensitive event, such as the following incidents:

1. Escape / Attempted Escape;

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	5	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

2. Death or serious injury of on-duty staff;
3. Death (unexpected) or serious injury of an incarcerated individual;
4. Suicide attempts;
5. Riot / Hostage Situation;
6. Assault/Battery on Staff resulting in injury requiring outside medical treatment;
7. Battery on Incarcerated Individual, (Battery on Another incarcerated individual resulting in injury, requiring medical at a local hospital);
8. Sexual misconduct of incarcerated individual, visitor, (e.g., rape/attempted rape, etc.);
9. Staff sexual misconduct;
10. Death or serious injury of a visitor at a facility;
11. Any serious fire or disturbance at a facility, and/or serious accident;
12. Any natural disaster or other serious unexpected event, such as the loss of utilities, that may have a serious negative impact upon the operation of the facility;
13. Staff or incarcerated individual injury resulting from use of force;
14. Any arrests that take place at Department facilities by Correctional Police Officers or local Law Enforcement / State Police;
15. Any coordinated incarcerated individual or staff work stoppage requiring a response above Quick Response Team (QRT) activation;
16. Any unauthorized video surveillance of the facility or parts of the facility; and,
17. Any serious crime, such as homicide, serious battery or sex crime, committed by a incarcerated individual or parolee that may cause widespread interest or non-routine news coverage and where a response or comment may be solicited from Central Office.

V. LEVELS OF EMERGENCIES (Correctional Facilities):

POLICY AND ADMINISTRATIVE PROCEDURE			
Indiana Department of Correction			
Manual of Policies and Procedures			
Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	6	16
Title			
INCIDENT REPORTING, MONITORING, AND MAPPING			

The disruption of routine facility operation that may involve serious incidents involving incarcerated individuals, staff, or other persons requiring the activation of Quick Response Team (QRT), Special Emergency Response Squad (SERT), and / or State Police in order to regain control and normal routine operations at a facility should be determined by nature of the emergency and following the levels of disturbance criteria below:

- **Level V Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the return to normal operations can be attained by the Quick Response Team and on-duty staff.
- **Level IV Emergency** – Disturbances, disasters, escapes, and other emergencies in which it is determined the responses/resources necessary for the stabilization of the situation cannot be attained by the QRT and/or on-duty staff and return to normal operations requires the assistance of off-duty staff.
- **Level III Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff nor its primary back-up units. The return to normal operations shall require the assistance of the Special Emergency Response Team (SERT) and/or facility Situation Control Team(s) (SITCON).
- **Level II Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff and return to normal operations requires the assistance from mutual aid personnel.
- **Level 1 Emergency** – Disturbances, disasters, and other emergencies in which it is determined that responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff, Department personnel, inter-agency personnel, and any local mutual aid personnel.

A. Reporting Incidents to Operations Center:

Whenever any event of a serious, significant, or highly sensitive nature occurs at any Department adult correctional facility, staff shall be responsible for reporting critical incidents, as listed in this policy and administrative procedure, to the Indiana Department of Correction Operations Center. Reporting notifications are to be made in the following manner:

1. When an incident must be reported as defined in (Section IV) of this policy and administrative procedure, the Operations Center shall be notified by the facility

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	7	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

within (1) hour of the incident or no later than (1) hour after the critical incident becomes known to the Warden or designee. Primary notification of the incident shall occur via email followed by a phone call, if warranted.

2. The information that is forwarded to the Operations Center must be reported by the Warden, Deputy Warden, Custody Supervisor, Shift Supervisor, the Parole District Supervisor or Assistant Parole District Supervisor, or their designees.
 3. All initial notifications to the Operations Center shall be made via an email, using the standardized form, with a follow-up telephone call of the critical incident prior to the end of shift. The Operations Center's email address is IDOCopsCenter@idoc.in.gov and the designated phone number for reportable incidents is 317-233-7038.
 4. The email shall include the following information:
 - a. Facility Name/Location or Department work site of incident;
 - b. Staff Reporting Incident with title/rank;
 - c. Type of Incident as listed in (Section IV) of this policy and administrative procedure;
 - d. Date and approximate time and very brief description of the incident;
 - e. Staff / incarcerated individual involved with names, numbers, and/or rank (race and gender are unnecessary);
 - f. Witnesses;
 - g. Injuries / Weapons;
 - h. Any resolutions made or pending surrounding the incident that occurred;
 - i. Whether First Responders were activated; and,
 - j. The name/designation of the camera if any footage of the incident was recorded.
 5. The incident will be assigned a number by the Operations Center and this number shall be given through an email to the facility or work site Supervisor as verification that the report was made to the Operations Center.
- B. In addition to the types of incidents defined above, the following events shall also require an email to the Operations Center in accordance with this policy and administrative procedure:
1. Incarcerated individual absconds from a Community Transition Program (CTP);

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	8	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

2. Expected death of an incarcerated individual (death by natural causes and was anticipated);
3. Prison Rape Elimination Act (PREA). In reporting this violation, staff shall indicate if the sexual conduct involved the use of force, threat, or intimidation, and if by an incarcerated individual, whether the conduct was toward another incarcerated individual (If the conduct was toward a staff member, contractor, or volunteer, it is not a PREA incident).
4. Use of physical force, including Quick Response Teams (QRT), at step IV, or above, of the Use of Force Continuum;
5. Unexpected incarcerated individual illness or injury resulting in off-grounds medical care, via ambulance;
6. Controlled substances or weapons found on an incarcerated individual, in common areas, or outdoors;
7. Staff injury resulting in off-grounds medical care;
8. Any restricted movement or lockdown (full or partial);
9. Accidents involving State vehicles;
10. Facility telephone, computer, power, or internet outages;
11. Civilian protests/demonstrations near the facility;
12. Any unauthorized video surveillance of the facility or parts of the facility;
13. Aerial drone sightings over the facility;
14. Alleged child abuse and/or neglect occurring within a facility that requires notification to the Department of Child Protective Services, outlined in Policy and Administrative Procedure 00-01-105, "The Reporting, Investigation, and Disposition of Child Abuse and Neglect;"
15. Any situation/event that threatens the physical plant, other than by natural disaster, particularly when those situations/events impact the operation of the facility;
16. Arrest of a parolee or warrant issued for a parolee;

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	9	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

17. Unauthorized use of electronic monitoring device by a parolee;
 18. Assault / Battery on Staff By Bodily Waste/Suspected Bodily Waste – Any bodily fluid or suspected bodily fluid (e.g., feces, urine, saliva, blood) or any injury on staff; and,
 19. Assault / Battery on Staff – All other incidents not involving injury.
- C. Whenever any employee becomes aware of any serious, significant, or highly sensitive event or critical incident, the employee shall, while or after taking any necessary action to resolve the event, notify the Warden or Duty Officer, as appropriate, or the Parole District Supervisor or Assistant Parole District Supervisor for incidents that occur involving incarcerated individual/Parolees, and staff.
1. Upon receiving information regarding a serious, significant, or highly sensitive event, as defined above, the Warden, Duty Officer, or Parole District Supervisor shall make appropriate notifications as specified in their Chain of Command, along with notifying the appropriate Director of Parole Services, Executive Director of Adult Facilities, and/or Deputy Commissioner by telephone as soon as possible.
 - a. The Warden, Duty Officer, or Parole District Supervisor shall provide as much information as possible regarding the serious, significant, or highly sensitive event so that all appropriate staff can be made aware of the situation and its status.
 - b. Follow-up telephone calls may be necessary to ensure that all pertinent information is made available to all appropriate staff.
 - c. No later than the next business day, the Warden, Duty Officer, or Parole District Supervisor or designee shall complete a SharePoint Report of Critical Incident as noted in Section V of this policy and administrative procedure, and submit it via e-mail to the appropriate Director, Executive Director, and/or Deputy Commissioner, and (if it pertains to facilities under the Division of Operations) submit copy to the Administrative Assistant to the appropriate Executive Director of Adult Facilities and the Deputy Commissioner/Operations, and ensure information is posted on SharePoint – under Critical Incident in accordance to Section V of this policy and administrative procedure.
 2. Upon receiving information regarding a critical incident that is not a “serious, significant or highly sensitive event” as defined above, the Warden, Duty Officer,

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	10	16

Title
INCIDENT REPORTING, MONITORING, AND MAPPING

or Parole District Supervisor shall notify the appropriate Director of Parole Services, Executive Director, and/or Deputy Commissioner, via e-mail, using the Report of Critical Incident. This would be an incident that is deemed “confidential,” and not posted on SharePoint Critical Incidents (e.g., possible outside arrests reported by staff where they received DUI, Domestic Violence, or very sensitive investigations that may still be pending and pertain to staff, etc.).

- a. The Warden, Duty Officer, or Parole District Supervisor shall include all pertinent information regarding the incident or event so that all appropriate staff can be made aware of the situation and its status.
- b. This notification shall be made as soon as possible but in no case should it be reported more than twenty-four (24) hours after the email notification of the critical incident.

- 3. In the event the Division Director, Executive Director, or designee who is to be initially notified of a critical incident is unavailable or cannot be contacted, the reporting Duty Officer or Parole Supervisor shall contact the next person in the chain-of-command. If the next person in the chain-of-command cannot be contacted, the reporting Duty Officer or Parole Supervisor shall continue up the chain-of-command until call-in notification can be made.

D. The assigned Executive Director of Adult Facilities, the Director of Parole Services, or other designee(s) receiving the report shall collect all available information regarding the incident and shall notify the appropriate Deputy Commissioner(s), and/or the Commissioner, or designee, and the Department’s Chief Communications Officer.

VI. OFFICIAL REPORT OF CRITICAL INCIDENT:

No later than the first business day following the date of the critical incident or other serious, significant or highly sensitive event or when staff becomes aware of the critical incident or other serious, significant or highly sensitive event, the Warden, Parole District Supervisor, or designee shall complete the SharePoint Report Of Critical Incident that is to be documented via SharePoint. This report shall be completed in its entirety and shall include as much information as possible regarding the critical incident or event. The report shall be completed electronically using the approved electronic version of the SharePoint Report of Critical Incident. When this report is completed, it shall be forwarded via the chain of command to the assigned Executive Director(s), and Deputy Commissioner (For facilities under the Division of Operations [only] send an email to the Administrative Assistant for the Deputy Commissioner/Operations via e-mail). If the report cannot be sent via e-mail, a facsimile of the report shall be transmitted to the appropriate Executive

POLICY AND ADMINISTRATIVE PROCEDURE			
Indiana Department of Correction			
Manual of Policies and Procedures			
Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	11	16
Title			
INCIDENT REPORTING, MONITORING, AND MAPPING			

Director, or Deputy Commissioner following a telephone call advising of the lack of e-mail and the need to send a facsimile. A copy of the report shall be sent via e-mail as soon as possible.

If additional information regarding the critical incident or event is obtained following the submission of the SharePoint Report of Critical Incident, the Warden, or Parole District Supervisor or designee shall submit the additional information, in a memorandum form, as soon as possible. This information shall be sent via e-mail to the appropriate Director of Parole Services, Executive Director, and/or Deputy Commissioner, with an update to the initial critical incident on SharePoint.

Upon receipt of the SharePoint Report of Critical Incident, the assigned Executive Director of Adult Facilities, Deputy Commissioner, or other person (designee) receiving the information shall review the report and make recommendations relating to corrective actions when advising the Commissioner and Department’s Chief Communications Officer to the contents of the report.

Upon approval of the suggested corrective actions by the Deputy Commissioner(s) and/or Commissioner, the assigned Executive Director of Adult Facilities, shall contact the appropriate Warden or Parole District Supervisor. The Warden or Parole District Supervisor shall prepare a plan of correction to implement the corrective actions and shall submit this plan of correction within thirty (30) days of the date notified via the appropriate chain-of command.

VII. MONITORING INCIDENTS:

A. The Deputy Warden of Operations or designee shall review all Incident Reports, Report of Critical Incident, Daily Shift Reports and Report of Conduct forms for major Disciplinary Code offenses to determine if any type of violence on the part of staff or incarcerated individual was involved and, if so, the nature of the violence. For the purpose of this review, violent incidents will be considered as:

1. Battery by an incarcerated individual on incarcerated individual;
2. Battery on staff by an incarcerated individual;
3. Assault on Staff
4. Disturbances;
5. Abusive sexual contact or non-consensual sexual acts; or,
6. Any Incident Report or Report of Conduct for a major Disciplinary Code offense that contains a battery or other violent acts.

The Department’s information systems have reports that assist in monitoring many of the events. Reports of Conduct are available by “place of incident”.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number 02-03-114	Effective Date 4/1/2022	Page 12	Total Pages 16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

B. Each business day, if an incident or critical incident occurs, an operational meeting shall be held to debrief / discuss all incidents within the facility. The following staff shall attend these meetings:

- Warden;
- Deputy Warden/Operations;
- Custody Supervisor;
- Facility Investigator;
- Safety Hazard Manager;
- Designated Unit Manager(s);
- Shift Supervisor;
- Health Services Staff, if medical treatment was necessary; and/or,
- Any other staff designated by the Warden or Deputy Warden

The Deputy Warden / Operations or designee shall ensure that copies of all Incident Reports, Report of Critical Incident, Daily Shift Reports and Reports of Conduct to be considered are brought to the meeting so that all staff may review the complete report during the discussion of the incident, and information is updated via the initial SharePoint Critical Incident Report, with additional information, such as (pending prosecution outcomes, hospital returns, other outcomes / resolutions of incident, etc.).

VIII. MAPPING OF INCIDENTS:

All information relating to incidents in the facility gathered in accordance with Section IV of this policy and administrative procedure shall be plotted on a map of the facility. The Deputy Warden/Operations or designee shall maintain this map on a daily basis.

The incidents shall be plotted by housing unit or activity area, (e.g., food service, recreation, school, etc.)

- A. A red dot shall represent incarcerated individual on incarcerated individual batteries with injury;
- B. A blue dot shall represent incarcerated individual on staff assault/battery with injury;
- C. A gray dot shall represent incarcerated individual on incarcerated individual fights-with injury;
- D. A yellow dot shall represent sanitation issues;
- E. An orange dot shall represent destruction of property;
- F. A purple dot shall represent medical issues;
- G. A green dot shall represent abusive sexual contact or non-consensual sexual acts;
- H. A white dot shall represent escape or escape attempts;

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	13	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

- I. A pink dot shall represent medical quarantine; and,
- J. A black dot shall represent all other types of incident.

At least monthly, the employee(s) designated by the Warden to monitor the data shall discuss the monitoring of facility incidents / trends and shall assist in the tracking of incidents and determining the appropriate response to the incidents.

IX. RESPONSE TO THE INFORMATION COLLECTED ON VIOLENT INCIDENTS:

Based on the information relating to violent incidents gathered and the analysis of this information by staff, it may be determined that changes may need to be made in the operation of the facility. These changes may include, but are not limited to:

A. Staffing changes

If the pattern of violence indicates that there is a lack of proper supervision in an area (for instance if there is a lack of enforcement of policy, procedures, or post orders) staff changes may occur or disciplinary action may be necessary;

B. Operational changes

If the pattern of violence indicates that the current operation of an area enhances the opportunity for violence, the policies, procedures or post orders shall be reviewed and revised to allow for greater security in the violent prone area;

C. Functional processes

In some situations there may be need to change functional processes that have been well established within facility.

D. Incident Management Meeting

If the incident is identified as having been related to poor supervision and control of incarcerated individuals, the employee(s) responsible for the location where the incident occurred shall meet with the Warden, Deputy Warden/Operations and the employee's supervisor in order to review basic safety, security, supervision, and control procedures. Such meetings shall be documented in the staff member's Fact File as performance counseling.

X. INCIDENT SUMMARY:

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	14	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

The Deputy Warden/Operations shall maintain an “Incident Summary.” Reports of Conduct regarding major offenses involving violence or significant property damage, Reports of Critical Incidents, Incident Reports, etc., shall be maintained on a database available for review by all department heads. Information contained in the database shall include but not be limited to:

- Date of incident
- Time of incident
- Location of the incident
- Staff rotation on duty at the time of incident
- Staff members involved in the incident
- Incarcerated individual(s) involved in the incident
- Type of incident
- Shift Rotation
- Injuries that resulted from the incident
- Whether the use of force was necessary
- Whether Security Threat Groups or High Risk incarcerated individuals were involved
- Other information as determined by the Warden
- Recommendation(s) for remedying the situation

XI. DEBRIEFING OF CRITICAL INCIDENTS:

Within ninety-six (96) hours of an incident requiring a Report of Critical Incident, the Deputy Warden/Operations, the Custody Supervisor, Facility Investigator, Unit Manager, or Supervisor of the area where the incident occurred shall conduct a debriefing. A report of the debriefing shall be prepared and submitted to the Warden for review. This debriefing report shall contain the following information:

- A. A brief description of the incident;
- B. Review of staff and incarcerated individual actions during the incident;
- C. Factors that may have contributed to the incident;
- D. A list of all injuries or death;
- E. A list of all staff directly involved in the incident;
- F. A review of incident’s impact on staff and incarcerated individuals;
- G. An inventory of damaged or destroyed State property;
- H. A critique of decisions made during the incident;
- I. Factors or conditions which still exist and which could result in a similar incident;
- J. Any referrals to law enforcement and/or prosecutors office; and,
- K. Recommendations for plans of correction.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	15	16
Title INCIDENT REPORTING, MONITORING, AND MAPPING			

Following review and approval of the report, the Warden shall prepare a plan of correction for any area needing improvement. The Warden shall submit a copy of the report and the plan of correction to the assigned Executive Director of Adult Facilities within thirty (30) days of the date notified via the appropriate chain-of command. The assigned Executive Director of Adult Facilities shall review the report and plan of correction and share this information with the appropriate Deputy Commissioner and any other staff impacted by the incident. Upon approval of the plan of correction by the appropriate Deputy Commissioner, the assigned Executive Director of Adult Facilities, shall advise the Warden. The Warden shall implement the approved plan of correction.

XII. GRAPHING/TRACKING OF INCIDENTS:

The Warden shall designate the staff responsible for tracking all incidents from month to month and year to year. Comparisons from year to year and month to month shall be completed and incidents shall be divided into three (3) sub-categories: Incarcerated Individual on Incarcerated Individual violence; Incarcerated Individual on Staff violence; and Non-violent incidents. All departments shall cooperate fully with Investigations and Intelligence staff by providing any documentation necessary to assist in the tracking of critical incident.

The Warden shall designate staff responsible for tracking (trends) in facility incidents from month to month and year to year. The staff designated shall submit a Quarterly Tracking Report for incidents to the assigned Executive Director of Adult Facilities, the Deputy Commissioner of Operations, and the Chief Investigator/Office of Investigations and Intelligence for review. These quarterly reports are due on April 15th, July 15th, October, 15th of the current year and January 15th of the following year for the last quarter. If due dates fall on a weekend or holiday, reports are due the next business day. These reports shall include data from the three previous months and include a comparison chart/data to the incidents that had occurred the previous year during the specific quarter. The reports shall be divided into three (3) sub-categories: Incarcerated Individual on Incarcerated Individual violence; Incarcerated Individual on Staff violence; and Non-violent incidents (contraband finds and locations). All departments shall cooperate fully with facility staff assigned to track incidents by providing any documentation necessary to assist in the tracking of incidents. The Deputy Commissioner of Operations shall share the quarterly information with the Commissioner/designee to determine whether any corrective action(s) is necessary. If corrective action(s) is necessary, information will be generated from the Deputy Commissioner of Operations to the assigned Executive Director of Adult Facilities, who shall discuss necessary corrective actions with the appropriate Warden with due date.

XIII. PLAN FOR THE REDUCTION OF VIOLENCE:

In an effort to reduce the overall incidents of violence, each facility shall;

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

Number	Effective Date	Page	Total Pages
02-03-114	4/1/2022	16	16

Title
INCIDENT REPORTING, MONITORING, AND MAPPING

- A. Continue to review the Incident Management database to identify trends in violence, repeated incidents involving the same incarcerated individual(s), locations, times and shift rotations of incidents, and the number of incidents involving particular employees.
- B. Conduct incident review performance meetings with involved staff to identify and recognize what could have been done to prevent the incident or what can be done to prevent future incidents.
- C. Use the incarcerated individual’s Incentive Program to recognize and reward positive behaviors.
- D. Partner with outside local resources to provide programs and reduce tension within the facility.

XIV. TRAINING:

Each Warden shall ensure that supervisory staff is trained in the components of this policy and administrative procedure. The Correctional Training Institute shall develop a training module on Critical Incident Reporting for new supervisory staff.

XV. APPLICABILITY:

This policy and administrative procedure is applicable to all Department facilities, offices, and employees providing services to incarcerated adults.

signature on file
Robert E. Carter, Jr.
Commissioner

Date